

27 FEB 2002

FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NO. PHD 99,207
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. Application No. (if known, see 37 CFR 1.5) 10/069892
INTERNATIONAL APPLICATION NO. PCT/EP99/06348	INTERNATIONAL FILING DATE August 28, 1999	PRIORITY DATE CLAIMED August 28, 1999
TITLE OF INVENTION AVOIDANCE OF POISONING EFFECTS DURING ANESTHESIA		
APPLICANT(S) FOR DO/EO/US Bernhard Fischer		
Applicant(s) herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input type="checkbox"/> copy of the International Application as filed (35 U.S.C. 371 (c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been transmitted by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2))</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> A translation of the amendment to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p>Items 11. to 16. below concern document(s) or information included:</p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment.</p> <p style="margin-left: 20px;"><input type="checkbox"/> A SECOND OR SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input checked="" type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input checked="" type="checkbox"/> Other items or information:</p> <p style="margin-left: 20px;"><u>1</u> Sheets of Drawings</p> <p style="margin-left: 20px;"><u>X</u> Authorization Pursuant to 37 CFR § 1.136(a)(3) and to Charge Deposit Account</p>		

CERTIFICATE OF MAILING

[X] Express Mail Mailing Label No. EL 686950430 US
Date of Deposit 2-27-02

I hereby certify that this paper and fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Jeanne Rusciano
Typed Name

Jeanne Rusciano
Signature

10/069892 U.S. APPLICATION NO. (Unknown See 37 C.F.R. 1.65)		INTERNATIONAL APPLICATION NO. PCT /EP99/06348		ATTORNEY'S DOCKET NUMBER PHD 99,207	
17 [X] The following fees are submitted: BASIC NATIONAL FEE (37 C.F.R. 1.492(A)(1)-(5)): <div style="display: flex; justify-content: space-between;"> <div> Search Report has been prepared by the EPO or JPO International preliminary-examination fee paid to USPTO (37 C.F.R. 1.482) No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) </div> <div style="text-align: right;"> \$860.00 \$690.00 \$750.00 \$970.00 \$ 96.00 </div> </div> <div style="text-align: right; margin-top: 5px;"> ENTER APPROPRIATE BASIC FEE AMOUNT = </div>				CALCULATIONS (PTO USE ONLY) <div style="text-align: right; border-top: 1px solid black; border-bottom: 1px solid black;"> \$ 860.00 </div>	
Surcharge of \$130.00 for furnishing the oath or declaration later than [] 20 [] 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	8 - 20 =		X \$ 18.00	\$	
Independent claims	4 - 3 =	1	X \$ 84.00	\$ 84.00	
MULTIPLE DEPENDENT CLAIMS (if applicable)			+ \$280.00	\$	
TOTAL OF ABOVE CALCULATIONS				=	\$ 84.00
Reductions by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 C.F.R. 1.9, 1.27, 1.28)				\$	
SUBTOTAL				=	\$ 944.00
Processing fee of \$130.00 for furnishing the English translation later than [] 20 [] 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)).				\$	
TOTAL NATIONAL FEE				=	\$ 944.00
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED				=	\$944.00
				Amount to be refunded	\$
				charged	\$
a. [] A check in the amount \$_____ to cover the above fees is enclosed. b. [X] Please charge my Deposit Account No. <u>14-1270</u> in the amount of \$ <u>944.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. [X] The Commissioner is hereby authorized to charge any additional fee, with the exception of the Base Issue Fee, which may be required, or credit any overpayment to Deposit Account No. <u>14-1270</u> . A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> SEND ALL CORRESPONDENCE TO: Corporate Patent Counsel Philips Electronics North America Corporation 580 White Plains Road Tarrytown, NY 10591 </div> <div style="width: 50%; text-align: center;"> (SIGNATURE) Michael E. Marion (NAME) 32,266 (REGISTRATION NUMBER) </div> </div>					

In re Application of

Atty. Docket

PHD 99,207

Group Art Unit

Ex.

Title: AVOIDANCE OF POISONING EFFECTS DURING ANESTHESIA

Commissioner for Patents
Washington, D.C. 20231

Sir:

Prior to calculation of the filing fee and examination, please amend the above-identified application as follows:

Please amend the claims as follows:

3. (amended) The system (10) of claim 1, wherein the anesthetic agent degradation product is carbon monoxide CO.

3. (amended) The system (10) of claim 1, wherein the anesthetic agent degradation product is carbon monoxide CO.

4. (amended) The system (10) according to claim 1, wherein the anesthetic agent degradation product is trifluoromethane, CHF_3 , preferably as an indicator for the presence of CO in the gas mixture.

The foregoing amendments to the claims were made solely to avoid filing the claims in the multiple dependent form so as to avoid the additional filing fee.

Respectfully submitted,

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APPENDIX

3. (amended) The system (10) of claim 1-~~or~~2, wherein the anesthetic agent degradation product is carbon monoxide CO.

4. (amended) The system (10) according to ~~any one of the above~~ claim 1, wherein the anesthetic agent degradation product is trifluoromethane, CHF_3 , preferably as an indicator for the presence of CO in the gas mixture.

AVOIDANCE OF POISONING EFFECTS DURING ANESTHESIA

BACKGROUND OF THE INVENTION

The present invention relates to poisoning effects during anesthesia.

- 5 During anesthesia with one of the agents desflurane, isoflurane or enflurane, it has been observed that patients can accidentally become exposed to carbon monoxide, CO, thus leading to an inadvertent CO-poisoning of the patient. Peter B. Berry et al. in "*Severe Carbon Monoxide Poisoning during Desflurane Anesthesia*", Anesthesiology V 90, No. 2, Feb 1999, p. 613 report 36% COHb as highest CO
10 level in blood due to this effect, i.e. 36% of hemoglobin loaded with CO (instead of oxygen) after only 15 min of anesthesia time with desflurane. A degradation of the anesthetic agent used in conjunction with Baralime or Sodalime, generally used as absorber material for CO₂ in circle breathing systems, has been identified as origin of this exposure. It has been found that degradation of the agent occurs under a
15 condition that the CO₂ absorber material is too dry. Carbon monoxide, CO, has been identified as one of the degradation products.

Usually, the accidental CO exposure goes undetected, because CO is not identified or measured by the commercially available medical gas monitors. Although clinicians are aware of the potential problem, its early recognition and immediate remedy requires experience and a thorough knowledge of the behavior of the monitoring equipment used. In the above case, described by Peter B. Berry et al., the detection occurred through a sequence of strange observations, 1st the oxygen saturation of the patient decreased to 93% in spite of a fresh gas flow with 100% oxygen, 2nd the gas analyzer being set to automatic agent identification mode suddenly switched to „enflurane“ in spite of the desflurane used. Only then, the

with the renewal/exchange routine of the CO₂ absorber material (cf. Harvey J. Woehlick et al., Reduction in the Incidence of Carbon Monoxide Exposures in Humans Undergoing General Anesthesia, Anesthesiology V87, No 2, Aug 1997, p. 228). However, since this strict discipline with the renewal/exchange routine
5 appears to be hardly feasible, an early and unambiguous identification of CO gas would be desirable. The gas monitors presently used in clinics, however, are not capable of detecting CO and react only indefinitely to its presence in the breathing gas mixture and mostly provide erroneous information to the user.

SUMMARY OF THE INVENTION

10 It is therefore an object of the invention to avoid poisoning effects during anesthesia. The object is solved by the independent claims. Preferred embodiments are shown by the dependent claims.

According to the invention, the CO concentration in a respiration gas is directly and/or indirectly measured in a substantially continuous monitoring process. An
15 alarm will be provided when the monitored concentration exceeds one or more given threshold values. Thus, a timely warning can be issued so that the clinical personnel can replace the CO₂ absorber material before any harm will be done to the patient.

An indirect monitoring of the CO concentration in a respiration gas is applied by
20 measuring a by-product of the anesthetic agent degradation process other than CO. Preferably, a by-product is selected which is absorbed in the body to a much lower degree than CO and thus easier to detect than CO. The by-product is thus employed as an indicator for the presence of CO. Preferably, trifluoromethane, CHF₃, is employed as such an indicator. CHF₃ can be detected using Raman or IR
25 spectroscopy.

It has been shown that the physiologically relatively harmless CHF₃ provides an excellent indicator for the presence of the dangerous CO. Since CO is virtually "sucked" by the lungs into the blood, the CO concentration in the respiration circle normally remains relatively low. The concentration of CHF₃, in contrast thereto, will be accumulated in the respiration circle, because CHF₃ is normally bound or absorbed in the body to a much lower degree than CO. Therefore, the concentration of CHF₃ in the respiration circle will be normally much higher than the concentration of CO and is thus much easier to detect.

A direct monitoring of the CO concentration in a respiration gas is applied using Raman spectroscopy for directly detecting the presence of anesthetic agent degradation products in a respiration gas such as CO and/or any other degradation product, like CHF₃, which can be employed as an indicator for the presence of CO.

The invention preferably applies **Raman scattering** for gas analyzing purposes. Gas detection, in general, is accomplished either by using optical absorption or by scattering of light. Scattering of light occurs as a consequence of the electronic polarizability of the electron cloud around atoms and molecules. Most incident photons are scattered by the sample with no change in frequency in a process known as Rayleigh scattering. Rayleigh scattering occurs from molecular as well as atomic species. However, with a small probability the scattered photons have frequencies $f_0 \pm f_1$, where f_0 is the frequency of the incident photon and f_1 is the frequency of a molecular vibration. This process is called Raman scattering. The modification of the scattered photons results from the incident photons either gaining energy from or losing energy to the vibrational or rotational motion of the molecule. Since complex molecules exist in a number of different rotational and vibrational states (depending on the temperature), many different values of f_1 are possible. Consequently, the Raman spectrum of a **Raman-active gas** will consist of a large number of scattered lines. Simple diatomic molecules like oxygen, O₂, or

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in the reference spectrum 110B, and both CHF_3 peaks (to the very left and right in the spectrum 100) represents 1% of the reference peak for CHF_3 in the reference spectrum 110Z. The peak CO represents about 0.5% of the reference peak for CO (not shown in 110). Accordingly, the gas composition of the measured spectrum

5 100 is: 77% of N_2 , 21% of O_2 , 1% of CHF_3 , and about 0.5% of CO.

When the determined quantitative amount of one or more of the anesthetic agent degradation products in the gas mixture exceeds given threshold values for each of the degradation products, an alarm will given in a third step. The determination of reasonable threshold values for the detection of the degradation products is of

10 course dependent on the sensitivity of the specific embodiment of the measurement system. Since one dangerous aspect of CO poisoning is the dose (the dose being the concentration multiplied by the exposure time) deposited in the blood hemoglobin, the optimization of the threshold values should preferably take into account both the detection limits for the degradation products as well as the

15 system's integration time associated with those detection limits. On one hand, it is desirable to have threshold values as low as possible in order to generate a warning as early as possible, but, on the other hand, false-positive alarms triggered in an overly sensitive system are to be avoided, too. In a preferred embodiment, threshold values of 0.5% for CHF_3 and/or 0.2% for CO have been proved

20 satisfactory. If more than one degradation product are monitored simultaneously a further increase in reliability of the alarm can be obtained from correlating the detection of these products at concentrations above the set threshold values.

In another preferred embodiment, only one of the anesthetic agent degradation products is used for monitoring possible CO-poisoning of patients in anesthesia.

25 Preferably, only CHF_3 will be monitored since CHF_3 provides a sufficiently strong Raman signal and it has been verified that the lower detection limit is well below 0.1%.

a processing unit (70) for determining the quantitative amount of at least one of the anesthetic agent degradation products, preferably CHF_3 and/or CO , in the gas mixture by comparing the measured Raman spectrum with a reference spectrum of the at least one anesthetic agent degradation products, and

10 6. A method for avoiding poisoning effects during anesthesia, comprising the
steps of:

15 (b) providing an alarm when the determined quantitative amount of the anesthetic agent degradation product in the anesthetic gas mixture exceeds a given threshold.

(c) measuring a Raman spectrum of the gas mixture, and

8. Use of a Raman spectrometer (60, 70) for determining the quantitative amount

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization
International Bureau



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8 March 2001 (08.03.2001)

PCT

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WO 01/15762 A1

(51) International Patent Classification⁷: A61M 16/01, 16/10, G01N 21/65

(74) Agent: **BARTH, Daniel**; Hewlett-Packard GmbH, Europäische Patent- und Lizenzabt., Herrenberger Strasse 140, D-71034 Böblingen (DE).

(21) International Application Number: PCT/EP99/06348

(81) Designated States (national): JP, US.

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(25) Filing Language: English

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Published:
— *With international search report.*

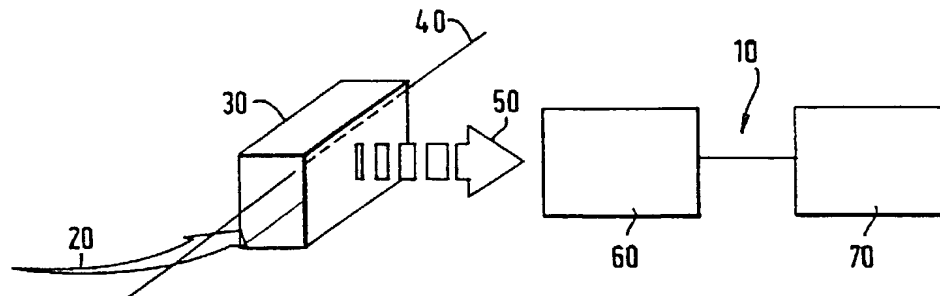
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HEWLETT-PACKARD COMPANY [US/US]; Corporate Offices, 3000 Hanover Street, Palo Alto, CA 94304 (US).

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(72) Inventor; and

(75) **Inventor/Applicant (for US only): FISCHER, Bernhard**
[DE/DE]; Trochtelfinger Weg 12, D-71229 Leonberg (DE).

(54) Title: AVOIDANCE OF POISONING EFFECTS DURING ANESTHESIA

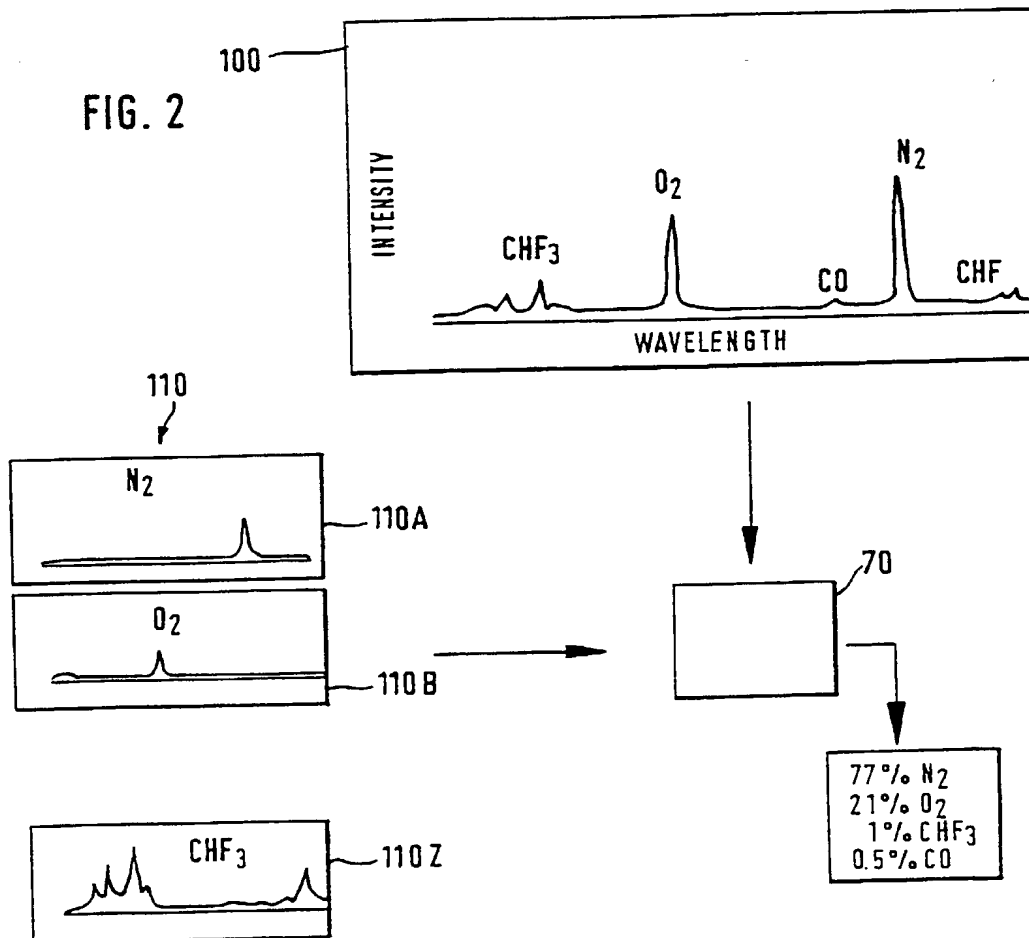
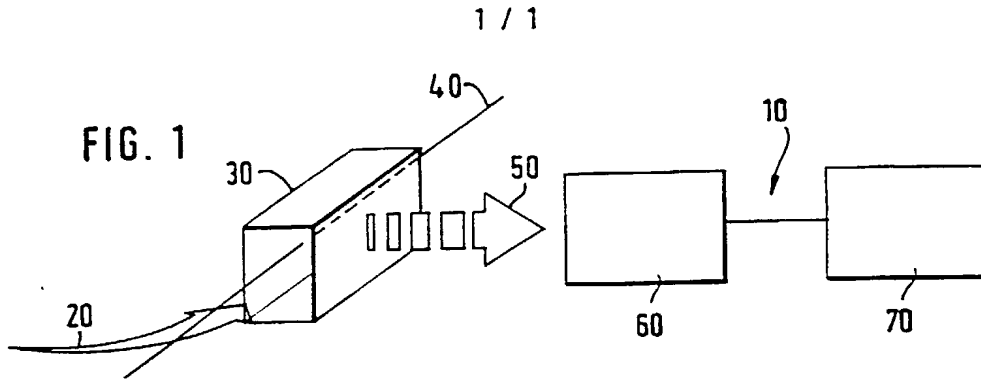


(57) Abstract: For avoiding poisoning effects during anesthesia, the quantitative amount of an anesthetic agent degradation product, preferably carbon monoxide CO and/or trifluoromethane CHF₃, in an anesthetic gas mixture is determined. When the determined quantitative amount of the anesthetic agent degradation product in the anesthetic gas mixture exceeds a given threshold, an alarm is provided. This is preferably accomplished by measuring a Raman spectrum of the gas mixture, and determining the quantitative amount of the anesthetic agent degradation product in the gas mixture by comparing the measured Raman spectrum with a reference spectrum of the anesthetic agent degradation product.

WO 01/15762 A1

WO 01/15762

PCT/EP99/06348



COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY
(includes Reference to PCT International Applications)

ATTORNEY'S DOCKET
NUMBER
PHD 99.207 US

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **"Avoidance of poisoning effects during anesthesia"**,
the specification of which (check only one item below):

☐ is attached hereto.

☐ was filed as United States application

Serial No _____

on _____

and was amended

on _____

☒ was filed as PCT international application

Number PCT/EP99/06348 ✓

on 28 August 1999 ✓

and was amended under PCT Article 19

on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY	APPLICATION NUMBER	DATE OF FILING DAY, MONTH, YEAR	PRIORITY CLAIMED UNDER 35 USC 119
WO ✓	PCT/EP99/06348 ✓	28 August 1999 ✓	YES

Combined Declaration For Patent Application and Power of Attorney (Continued) (includes Reference to PCT International Applications)				Attorneys Docket Number PHD 99.207 US	
POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)					
3 Jack E. Haken, <u>Reg. No. 26,902</u> Michael E. Marion, <u>Reg. 32,266</u> Edward M. Blocker, <u>Reg. No. 30,245</u>				Direct Telephone Calls to (name and telephone number) <u>(914)332-0222</u>	
1-00 201	FULL NAME OF INVENTOR	FAMILY NAME <u>FISCHER</u>	FIRST GIVEN NAME <u>Bernhard</u>	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY <u>Leonberg</u> <i>DEX</i>	STATE OR FOREIGN COUNTRY <u>Germany</u>	COUNTRY OF CITIZENSHIP <u>Germany</u> ✓	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS <u>Trochtafinger Weg 12</u>	CITY <u>Leonberg D-71229</u>	STATE & ZIP CODE/COUNTRY <u>Germany</u>	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true: and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.					
SIGNATURE OF INVENTOR 201					
DATE					

U.S. DEPARTMENT OF COMMERCE- Patent and Trademarks Office
(July 1994)

10069892 10/069892

JC19 Rec'd PCT/PTO 27 FEB 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Atty. Docket

BERNHARD FISCHER

PHD 99,207

Serial No.

Group Art Unit

Filed: CONCURRENTLY

Ex.

Title: AVOIDANCE OF POISONING EFFECTS DURING ANESTHESIA

APPOINTMENT OF ASSOCIATES

Sir:

The undersigned Attorney of Record hereby revokes all prior appointments (if any) of Associate Attorney(s) or Agent(s) in the above-captioned case and appoints:

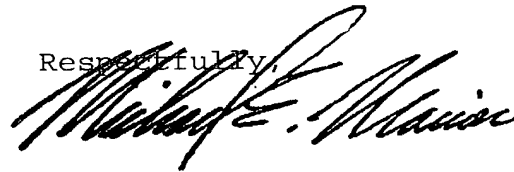
Tony Piotrowski

(Registration No. 42,080)

c/o U.S. PHILIPS CORPORATION, Intellectual Property Department,
580 White Plains Road, Tarrytown, New York 10591, his Associate Attorney(s)/Agent(s) with all the usual powers to prosecute the above-identified application and any division or continuation thereof, to make alterations and amendments therein, and to transact all business in the Patent and Trademark Office connected therewith.

ALL CORRESPONDENCE CONCERNING THIS APPLICATION AND THE LETTERS PATENT WHEN GRANTED SHOULD BE ADDRESSED TO THE UNDERSIGNED ATTORNEY OF RECORD.

Respectfully,



Michael E. Marion, Reg. 32,266
Attorney of Record

Dated at Tarrytown, New York
this February 26, 2002